

2131  
#2



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

re application of: Gunter

Serial No.: 10/090,689

: Attorney Docket No. 53087-5008

Filed: March 5, 2002

For: METHOD AND SYSTEM FOR  
MAINTAINING SECURE ACCESS TO  
WEB SERVER SERVICES USING  
PERMISSIONS

RECEIVED  
MAY 13 2002  
Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 C.F.R. §§ 1.56 ET SEQ.**

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. § 1.97(b), the above-identified Applicants cite the following patents and publications, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. In compliance with 37 C.F.R. § 1.98(a), copies of the patents and publications set forth below and listed on the attached Form PTO-1449 (4 sheets) are provided.

**CERTIFICATE OF MAILING (37 C.F.R. § 1.8)**

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited on the date shown below with the U.S. Postal Service with sufficient postage as first-class mail in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Name Alison B. Weisberg Signature

*Alison B. Weisberg*

Date of Deposit

*May 6, 2002*

RECEIVED  
MAY 13 2002  
Technology Center 2100

<u>Patent No.</u>	<u>Issue Date</u>	<u>Patentee</u>
6,216,116	04/10/01	Barkan, et al.
5,659,616	08/19/97	Sudia
5,903,882	05/11/99	Asay, et al.
5,943,423	08/24/99	Muftic
5,978,484	11/02/99	Apperson, et al.
5,960,085	09/28/99	De la Huerga
6,003,014	12/14/99	Lee, et al.
5,901,284	05/04/99	Hamdy-Swink
5,872,848	02/16/99	Romney, et al.
5,784,463	07/21/98	Chen, et al.
5,761,309	06/02/98	Ohashi, et al.
5,757,920	05/25/98	Misra, et al.
5,754,654	05/19/98	Hiroya, et al.
5,694,471	12/02/97	Chen, et al.
5,412,717	05/02/95	Fischer
5,339,403	08/16/94	Parker
5,261,002	11/09/93	Perlman, et al.
5,315,657	05/24/94	Abadi, et al.
5,214,702	05/25/93	Fischer
4,868,877	09/19/89	Fischer
4,816,655	03/28/89	Musyck, et al.
5,615,268	03/25/97	Bisbee, et al.
5,542,046	07/30/96	Carlson, et al.
5,475,758	12/12/95	Kikuchi
5,455,953	10/03/95	Russell
5,412,727	05/02/95	Drexler, et al.
6,138,235	10/24/00	Lipkin, et al.

#### Other References

Blaze, et al., "THE KEYNOTE TRUST-MANAGEMENT SYSTEM VERSION 2", Internet Society, September 1999, pp. 1-32.

Gunter, et al., "POLICY-DIRECTED CERTIFICATE RETRIEVAL", Software-Practice & Experience, September 21, 2000, Vol. 30, pp. 1609-1640.

Gunter, et al., "GENERALIZED CERTIFICATE REVOCATION", ACM Symposium on Principles of Programming Languages, January 2000, pp. 1-14.

Kakkar, et al., "CERTIFICATE DISTRIBUTION WITH LOCAL AUTONOMY", International Workshop on Active Networks, October 2000, pp. 1-19.

Blaze, et al., "DECENTRALIZED TRUST MANAGEMENT", Proc. IEEE Conference on Security and Privacy, May 1996, pp. 1-23.

Herzberg, et al., "ACCESS CONTROL MEETS PUBLIC KEY INFRASTRUCTURE, OR: ASSIGNING ROLES TO STRANGERS", pp. 1-13.

Rivest, et al., "SDSI – A SIMPLE DISTRIBUTION SECURITY INFRASTRUCTURE", April 30, 1996, pp. 1-37.

C. Ellison, "SPKI REQUIREMENTS," The Internet Society, September 1999, pp. 1-14.

Ellison, et al., "SPKI CERTIFICATE THEORY", The Internet Society, September 1999, pp. 1-43.

Muller, "BLUETOOTH SECURITY ARCHITECTURE", Bluetooth White Paper, July 15, 1999, pp. 1-33.

Mettala, "BLUETOOTH PROTOCOL ARCHITECTURE", Bluetooth White Paper, September 29, 1999, pp. 1-20.

Maywah, "AN IMPLEMENTATION OF A SECURE WEB CLIENT USING SPKI/SDSI CERTIFICATES", S.B. Massachusetts Institute of Technology, May 2000, pp. 1-76.

Dan Backman, "SMARTCARDS: THE INTELLIGENT WAY TO SECURITY", Network Computing, May 15, 1998, pp. 170-171.

Ellison, <http://world.std.com/~cme/>, July 21, 2001, pp. 1-3.

IEEE, [www.ieee.org](http://www.ieee.org), 13 pages.

Microsoft .Net Passport Review Guide, "THE WHY, WHAT AND HOW OF MICROSOFT .NET PASSPORT", Published: March 2002, pp. 1-50.

.NET Passport Overview:

wysiwyg://13/<http://www.microsoft.com/myservices/passport/overview.asp>, pp. 1-7;

wysiwyg://21/<http://www.microsoft.com/myservices/passport/overview.asp>, p. 1.

Infrared Data Association, [www.irda.org](http://www.irda.org), 93 pages.

Except where explicitly identified on the document itself, Applicants do not know whether and to what extent such documents existed prior to the filing date of the above application.

In addition to the above-listed references, applicants hereby bring to the Examiner's attention co-pending U.S. Patent Application Serial No. 09/561,806 as well as Nos. 09/842,266; 09/841,732; 09/841,733; 09/842,268; 09/842,267; 09/841,731; and 09/842,269, which have the same specification as each other, and Nos. 10/090,680; 10/090,681; and 10/090,679, which have the same specification as the present application.

Applicants respectfully request that these items be considered by the Examiner, and that the Examiner acknowledge consideration of these references by initialing and returning copies of the enclosed Form PTO-1449 with the next official action.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention or otherwise material to the patentability of this invention as defined in 37 C.F.R. § 1.56.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(b) exists.

Respectfully submitted,



Alison B. Weisberg  
Reg. No. 45,206  
Attorney for Applicant

MORGAN, LEWIS & BOCKIUS LLP  
1701 Market Street  
Philadelphia, PA 19103-2921  
(215) 963-5091

Dated: May 6, 2002

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 4

**Complete if Known**

Application Number	10/090,689
Filing Date	03/05/02
First Named Inventor	Gunter
Art Unit	2131
Examiner Name	
Attorney Docket Number	53087-5008

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. 1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number- Kind Code 2 (if known)			
A		US-6,216,116	04/10/01	Barkan et al.	
B		US-5,659,616	08/19/97	Sudia	
C		US-5,903,882	05/11/99	Asay et al.	
D		US-5,943,423	08/24/99	Muttic	
E		US-5,978,484	11/02/99	Apperson et al.	
F		US-5,960,085	09/28/99	De la Huerga	
G		US-6,003,014	12/14/99	Lee et al.	
H		US-5,901,284	05/04/99	Hamdy-Swink	
I		US-5,872,848	02/16/99	Komney et al.	
J		US-5,784,403	07/21/98	Chen et al.	
K		US-5,761,309	06/02/98	Ohashi et al.	
L		US-5,757,920	05/25/98	Misra et al.	
M		US-5,754,654	05/19/98	Hirova et al.	
N		US-5,694,471	12/02/97	Chen et al.	
O		US-5,412,717	05/02/05	Fischer	
P		US-5,339,403	08/10/94	Parker	
Q		US-5,261,002	11/09/93	Perlman et al.	
R		US-5,315,657	05/24/94	Abadi et al.	
S		US-5,214,702	05/25/93	Fischer	
T		US-4,868,877	09/19/89	Fischer	

## FOREIGN PATENT DOCUMENTS

[illegible]

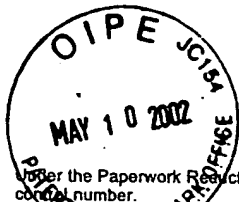
Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08B (10-01)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

+

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/090,689
		Filing Date	03/05/02
		First Named Inventor	Gunter
		Group Art Unit	2131
		Examiner Name	
Sheet 2 of 4	Attorney Docket Number	53087-5608	

RECEIVED  
MAY 18 2002  
Technology Center 2100

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	U	Blazc et al., "THE KEYNOTE TRUST-MANAGEMENT SYSTEM VERSION 2", Internet Society, September 1999, pp. 1-32.	
	V	Gunter et al., "POLICY-DIRECTED CERTIFICATE RETRIEVAL", Software-Practice & Experience, September 21, 2000 vol. 3, pp. 1609-1640.	
	W	Gunter et al., "GENERALIZED CERTIFICATE REVOCATION", ACM Symposium on Principles of Programming Languages, January 2000, pp. 1-14.	
	X	Kakkae et al., "CERTIFICATE DISTRIBUTION WITH LOCAL Autonomy", International Workshop on Active Networks, October 2000, pp. 1-19.	
	Y	Blazc et al., "DECENTRALIZED TRUST MANAGEMENT", Proc. IEEE Conference on Security and Privacy, May 1996, pp. 1-23.	
	Z	Herzberg et al., "ACCESS CONTROL MEETS PUBLIC KEY INFRASTRUCTURE, OR: ASSIGNING ROLES TO STRANGERS", pp. 1-13.	
	AA	Rivest, et al., "SDSI-A SIMPLE DISTRIBUTION SECURITY INFRASTRUCTURE", APR 11 30, 1996, pp. 1-37.	
	BB	C. ELLISON, "SPKI REQUIREMENTS", The Internet Society, September 1999, pp. 1-14.	

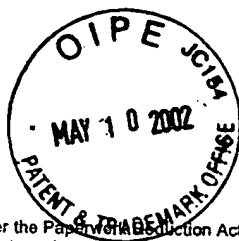
Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

+



Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		<b>Complete if Known</b>			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/090 689		
		Filing Date	03/05/02		
		First Named Inventor	Gunter		
		Art Unit	2131		
		Examiner Name			
Sheet	3	of	4	Attorney Docket Number	53087-5005

RECEIVED  
MAY 13 2002  
Technology Center 2100

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	CC	US-4,816,655	03/28/89	Musyck et al.	
	DD	US-5,015,268	03/25/97	Bisbee et al.	
	EE	US-5,542,046	07/30/96	Carlson et al.	
	FF	US-5,475,758	12/12/95	Kikuchi	
	GG	US-5,455,953	10/03/95	Russell	
	HH	US-5,412,727	05/02/95	Drexler et al.	
	II	US-6,138,235	10/24/00	Lipkin et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)			

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

PTO/SB/08B (10-01)

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/090 689
		Filing Date	03/05/02
		First Named Inventor	Gunter
		Group Art Unit	2131
		Examiner Name	
Sheet 4 of 4	Attorney Docket Number	53087-5008	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
JJ		Ellison et al., "SPKI CERTIFICATE THEORY", The Internet Society, September 1999, pp. 1-43.	
KK		MULLER, "BLUE TOOTH SECURITY ARCHITECTURE", Bluetooth White Paper, July 15, 1999, pp. 1-33	
LL		Metataia, "BLUETOOTH PROTOCOL ARCHITECTURE", Bluetooth White Paper, September 29, 1999, pp. 1-20	
MM		Maywah, "AN IMPLEMENT OF A SECURE WEB CLIENT USING SPKI/SDSI CERTIFICATES", S.B. Massachusetts Institute of Technology, May 2000, pp. 1-76.	
NN		DAN BLACKMAN, "SMARTCARDS: THE INTELLIGENT WAY TO SECURITY", Network Computing, MAY 15, 1998, pp. 170-171	
OO		Ellison, <a href="http://world.std.com/~cme/">http://world.std.com/~cme/</a> , July 21, 2001, pp. 1-3.	
PP		IEEE, <a href="http://www.ieee.org">www.ieee.org</a> , 13 pages	
QQ		Infrared Data Association, <a href="http://www.irda.org">www.irda.org</a> , 93 pages	
RR		Microsoft .Net Passport Review Guide, "THE WHY WHAT AND HOW OF MICROSOFT .NET PASSWORD", Published: March 2002.	
SS		.NET PASSPORT OVERVIEW: 11/13/ <a href="http://www.microsoft.com/my services/passport/overview.asp">http://www.microsoft.com/my services/passport/overview.asp</a> , pp. 1-7; 11/21/ <a href="http://www.microsoft.com/my services/passport/overview.asp">http://www.microsoft.com/my services/passport/overview.asp</a> , p. 1	

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED  
MAY 13 2002  
Technology Center 2100